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JAN 27 2000

Attorney Docket No. 1364.1007/RAG

#4  
J. Douglas  
12/21/00

Group 2700

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:

Rafael HEREDIA et al.

Application No.: 09/453,023

Filed: December 2, 1999

CPA Filing Date (*if applicable*):



Group Art Unit: 2712

Examiner: Unassigned

For: APPARATUS, METHOD AND DATABASE FOR CONTROL OF AUDIO/VIDEO EQUIPMENT

Assistant Commissioner for Patents  
Washington, D.C. 20231

**INFORMATION DISCLOSURE STATEMENT**

In accordance with the duty of disclosure provisions of 37 CFR §1.56, there is hereby provided certain information which the Examiner may consider material to the examination of the subject U.S. patent application. It is requested that the Examiner make this information of record if it is deemed material to the examination of the subject application.

1. Enclosures accompanying this Information Disclosure Statement are:
  - 1a.  Form PTO-1449.
  - 1b.  Copies of IDS citations. (*If box not checked, see Item 6, below*)
  - 1c.  An English language copy of search report(s) from a counterpart foreign application or a PCT International Search Report.
  - 1d.  English language translation (complete or relevant portion(s)) attached to each non-English language publication.
  - 1e.  Explanations of Relevancy of References (ATTACHMENT 1(e), hereto) for providing a concise explanation of each non-English publication.
  - 1f.  List of Copending Applications (ATTACHMENT 1(f), hereto).
2.  This Information Disclosure Statement is filed under 37 CFR §1.97(b) before:  
*(Check either Item 2a or 2b)*
  - 2a.  the latter of three (3) months after the U.S. patent application filing date or before the first Office Action on the merits therein; or
  - 2b.  the latter of three (3) months after the continued prosecution application (CPA) filing date or before the first Office Action on the merits therein.

Accordingly, no fee or § 1.97(e) Statement is required.

3. [ ] This Information Disclosure Statement is filed under 37 CFR §1.97(c) after the first Office Action on the merits, but before a Final Office Action or a Notice of Allowance.

*(Check either Item 3a or 3b; Item 3b to be checked if any reference known for more than 3 months)*

- 3a. [ ] The §1.97(e) Statement in Item 5 below is applicable. Accordingly, no fee is required.
- 3b. [ ] The \$240.00 fee set forth in 37 CFR §1.17(p) in accordance with 37 CFR §1.97(c) is:  
[ ] enclosed.  
[ ] to be charged to Deposit Account No. 19-3935.

4. [ ] This Information Disclosure Statement is filed under 37 CFR §1.97(d) after the Final Office Action or the Notice of Allowance, but before payment of the Issue Fee.

The § 1.97(e) Statement (Item 5 below) is applicable.

A Petition to the Commissioner is hereby made under 37 CFR §1.97(d) to request consideration of this Information Disclosure Statement. The \$130.00 fee set forth in 37 CFR §1.17(i) is:

- [ ] enclosed.  
[ ] to be charged to Deposit Account No. 19-3935.

5. [ ] Statement under § 1.97(e) (*applicable if Item 3a or Item 4 is checked*)

*(Check either Item 5a or 5b)*

- 5a. [ ] In accordance with 37 CFR §1.97(e)(1), it is stated that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. (Federal Register, Vol. 62, No. 197, page 53190, October 1997.)
- 5b. [ ] In accordance with 37 CFR §1.97(e)(2), it is stated that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in this Information Disclosure Statement was known by any individual designated in §1.56(c) more than three months prior to the filing of this Information Disclosure Statement. (Federal Register, Vol. 62, No. 197, page 53190, October 1997.)

6. [ ] This is a continuation/divisional/continuation-in-part application under 37 CFR §1.53(b).

*(Check appropriate Items 6a and/or 6b)*

- 6a. [ ] Copies of the publications listed on the attached Form PTO-1449 which were previously cited in prior application Serial No. \_\_\_\_\_, filed on \_\_\_\_\_, of which this application claims priority under 35 U.S.C. §120, have been omitted pursuant to 37 CFR §1.98(d).
- 6b. [ ] Copies of the publications listed on the attached Form PTO-1449 which were not previously cited in prior application Serial No. \_\_\_\_\_, filed on \_\_\_\_\_, of which this application claims priority under 35 U.S.C. §120, are provided herewith.

7. [ ] This is a continuation/divisional application under 37 CFR §1.53(d).

*(Check either Item 7a or 7b)*

- 7a. [ ] The Issue Fee has not been paid.

- 7b. [ ] A Petition to Withdraw from issue under 37 CFR §1.313(b)(5) is filed concurrently herewith or has been granted. A continuation application under 37 CFR §1.53(d) after payment of the Issue Fee is proper in accordance with 37 CFR §1.53(d)(1)(ii).
8. [ ] This is a Supplemental Information Disclosure Statement.  
*(Check either Item 8a or 8b)*
- 8a. [ ] This Supplemental Information Disclosure Statement under 37 CFR §1.97(f) supplements the Information Disclosure Statement filed on \_\_\_\_\_. A bona fide attempt was made to comply with 37 CFR §1.98, but inadvertent omissions were made. These omissions have been corrected herein. Accordingly, additional time is requested so that this Supplemental IDS can be considered as if properly filed on \_\_\_\_\_.
- 8b. [ ] This Supplemental Information Disclosure Statement is timely filed within one (1) month of the Notice under 37 CFR §1.97(i), mailed \_\_\_\_\_.  
(MPEP 609, Form ¶ 6.51, July 1997.)
9. [ ] In accordance with 37 CFR §1.98, a concise explanation of what is presently understood to be the relevance of each non-English language publication is:  
*(Check appropriate Items 9a, 9b, 9c and/or 9d)*
- 9a. [ ] satisfied because all non-English language publications were cited on the enclosed English language copy of the PCT International Search Report or the search report from a counterpart foreign application indicating the degree of relevance found by the foreign office. (See U.S. Patent & Trademark Office's authorization in the Federal Register, Vol. 57, No. 12, January 17, 1992, at page 2031 (Reply to Comment 68).)
- 9b. [ ] set forth in the application.
- 9c. [ ] satisfied because an English language translation (complete or relevant portion(s)) is attached to each non-English language publication.
- 9d. [ ] enclosed as Attachment 1(e), hereto.
10. No admission is made that the information cited in this Statement is, or is considered to be, material to patentability nor a representation that a search has been made nor that any of the information listed herein constitutes prior art with respect to the subject application, and unless and until such prior art status is established, this submission is not a request that the information presented herein be printed on the face of any patent issuing from the subject application in which this information is being filed.
11. The Commissioner is authorized to credit any overpayment or charge any additional fee required under 37 CFR §1.17 for this Information Disclosure Statement and/or Petition to Deposit Account No. 19-3935.

Respectfully submitted,

STAAS & HALSEY LLP

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Richard A. Gollhofer  
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Sheet 1 of 4

FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE			ATTORNEY DOCKET NO.	JAN 27 2000	APPLICATION NO.
				1364.1007/RAG	09/453,023	
				FIRST NAMED INVENTOR	Group 2700	
				Rafael HEREDIA		
				FILING DATE	GROUP ART UNIT	
				December 2, 1999	2712	

## LIST OF REFERENCES CITED BY APPLICANT

(Use several sheets if necessary)

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NO.	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA	5,724,106	03/03/98	Autry et al.			
	AB	5,517,612	05/14/96	Dwin et al.			
	AC	5,555,098	09/10/96	Parulski			
	AD	5,523,796	06/04/96	Marshall et al.			
	AE	5,854,621	12/29/98	Junod et al.			
	AF	5,774,063	06/30/98	Berry et al.			
	AG	5,412,766	05/02/95	Pietras et al.			
	AH	4,703,359	10/27/87	Rumbolt et al.			
	AI	5,598,523	01/28/97	Fujita			
	AJ	5,307,173	04/26/94	Yuen et al.			
	AL	5,488,409	01/30/96	Yuen et al.			
	AM	5,515,173	05/07/96	Mankovitz et al.			
	AN	5,974,222	10/26/99	Yuen et al.			
	AO	5,970,206	10/19/99	Yuen et al.			
	AP	5,915,026	06/22/99	Mankovitz			
	AQ	5,886,746	03/23/99	Yuen et al.			
	AR	5,870,150	02/09/99	Yuen			
	AS	5,852,478	12/22/98	Kwoh			
	AT	5,710,601	01/20/98	Marshall et al.			
	AU	5,701,383	12/23/97	Russo et al.			
	AV	5,673,089	09/30/97	Yuen et al.			

EXAMINER	DATE CONSIDERED
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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LIST OF REFERENCES CITED BY APPLICANT <i>(Use several sheets if necessary)</i>		FIRST NAMED INVENTOR Rafael HEREDIA	
		FILING DATE December 2, 1999	GROUP ART UNIT 2712

**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL	DOCUMENT NO.	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
BA	5,619,383	04/08/97	Ngai			
BB	5,559,550	09/24/96	Mankovitz			
BC	5,553,123	09/03/96	Chan et al.			
BD	5,552,837	09/03/96	Mankovitz			
BE	5,541,738	07/30/96	Mankovitz			
BF	5,539,391	07/23/96	Yuen			
BG	5,532,732	07/02/96	Yuen et al.			
BH	5,969,748	10/19/99	Casement et al.			
BI	5,959,688	09/28/99	Schein et al.			
BJ	5,949,954	09/07/99	Young et al.			
BL	5,940,073	08/17/99	Klosterman et al.			
BM	5,923,362	07/13/99	Klosterman			
BN	5,828,945	10/27/98	Klosterman			
BO	5,809,204	09/15/98	Young et al.			
BP	5,808,608	09/15/98	Young et al.			
BQ	5,801,787	09/01/98	Schein et al.			
BR	5,790,198	08/04/98	Roop et al.			
BS	5,727,060	03/10/98	Young			
BT	5,694,334	12/2/97	Donahue et al.			
BU	5,684,525	11/4/97	Klosterman			
BV	5,619,274	04/08/97	Roop et al.			

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*EXAMINER INITIAL		DOCUMENT NO.	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	CA	5,550,576	08/27/96	Klosterman			
	CB	5,532,754	07/02/96	Young et al.			
	CC	5,479,268	12/26/95	Young et al.			
	CD	5,353,121	10/04/94	Young et al.			
	CE	5,523,796	06/04/96	Marshall et al.			
	CF	5,346,326	09/13/94	Bienvenu			
	CG	5,335,079	08/02/94	Yuen , et al.			
	CH	5,307,173	04/26/94	Yuen , et al.			



## OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)

CI	"Yamada @ PET RP-U100 Receiver", printed Nov. 24, 1999 from <a href="http://www.yamaha.com/yc/products/newprods/PChometheater/pchtinfo.htm/">http://www.yamaha.com/yc/products/newprods/PChometheater/pchtinfo.htm/</a>
CJ	"SRS Labs Files Patents for Internet Audio Broadcast Technologies for the Next Generation of Enhanced Stereo and Surround Sound", PR Newswire, December 15, 1999.
CK	HTPC Home Theater PC advertisement in <u>Computer Shopper</u> , December 1999.
CL	Logitech Mouse and Trackball User's Guide.
CM	Xantech Models 282-00 and 284-00 Mini Emitters Installation Instructions.
CN	ADCOM GFB-800 Operating Instructions.
CO	ADCOM GTP-600 Surround Sound Tuner/Preamplifier Owner's Manual.
CP	ADCOM GCD-700 CD Player Owner's Manual

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	DA						
	DB						
	DC						
	DD						
	DE						
	DF						
	DG						
	DH						
	DI						
	DJ						



**OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)**

✓	DK	JDS InfraRed Xpander User Manual
✓	DL	DVX 8000 manual, Philips Electronics North America Corporation, 1997.
	DM	
	DN	
	DO	
	DP	
	DQ	

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